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TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Applicati n Number	09/851,650
Filing Dat	May 8, 2001
First Named Inventor	Phillip J. BARR et al.
Group Art Unit	1652
Examiner Name	To Be Assigned
Attorney Docket No.	300622001610

Total Number Of Pages In This Submission

13

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ENCLOSURES (check all that apply)

- | | | |
|---|---|---|
| <input type="checkbox"/> Fee Transmittal Form | <input type="checkbox"/> Assignment Papers
(for an Application) | <input type="checkbox"/> After Allowance Communication to Group |
| <input type="checkbox"/> Fee Attached | <input type="checkbox"/> Drawing(s) | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences |
| <input checked="" type="checkbox"/> Amendment / Reply | <input type="checkbox"/> Licensing-related Papers | <input type="checkbox"/> Appeal Communication to Group
(Appeal Notice, Brief, Reply Brief) |
| <input type="checkbox"/> After Final | <input type="checkbox"/> Petition | <input type="checkbox"/> Proprietary Information |
| <input type="checkbox"/> Affidavits/declarations | <input type="checkbox"/> Petition to Convert to a Provisional Application | <input type="checkbox"/> Status Letter |
| <input type="checkbox"/> Extension of Time Request | <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address | <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): |
| <input type="checkbox"/> Express Abandonment Request | <input type="checkbox"/> Terminal Disclaimer | 1. Request for Corrected Filing Receipt (2 pages); |
| <input type="checkbox"/> Information Disclosure Statement | <input type="checkbox"/> Request for Refund | 2. Red-lined copy of Official Filing Receipt (2 pages) |
| <input type="checkbox"/> Certified Copy of Priority Document(s) | <input type="checkbox"/> CD, Number of CD(s) _____ | 3. Initial Information Data Sheet (3 pages) |
| <input type="checkbox"/> Response to Missing Parts/
Incomplete Application | | 4. Utility Patent Application Transmittal (1 page) <i>Copy</i> |
| <input type="checkbox"/> Response to Missing Parts
under 37 CFR 1.52 or 1.53 | | 5. Return Postcard |

Remarks

SIGNATURE OF APPLICANT, ATTORNEY OR AGENT

Firm or Individual Name	Morrison & Foerster LLP 3811 Valley Centre Drive, Suite 500, San Diego, CA 92130 Brenda J. Wallach, Ph.D., Reg. No. 45,193
Signature	<i>Brenda J Wallach</i>
Date	July 11, 2002

CERTIFICATE OF MAILING BY "FIRST CLASS MAIL"

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope address d to: Assistant Commissioner for Patents, Washington, D.C. 20231, on July 11, 2002.

Vicki L. Andrews
Vicki L. Andrews

Burden Hours Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.



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TECH CENTER PATENT
Docket No. 30062100/2900

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Vicki L. Andrews

Vicki L. Andrews

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of:

Philip J. BARR, et al.

Serial No.: 09/851,650

Filing Date: May 8, 2001

For: PRODUCTION OF POLYKETIDES IN
BACTERIA AND YEAST

Examiner: Not Yet Assigned

Group Art Unit: 1652

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REQUEST FOR CORRECTED FILING RECEIPT

Assistant Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

Please furnish the undersigned with a corrected Filing Receipt for the above-identified application. The corrections needed are as follows and are indicated in bold lettering.

Please change the domestic priority data as follows:

THIS APPLICATION IS A DIV of 09/422,073 10/21/1999 PAT 6,258,566
WHICH IS A CON OF 08/989,332 12/11/1997 PAT 6,033,883
WHICH CLAIMS BENEFIT OF 60/033,193 12/18/1996

Attached hereto for ease of reference is a true and correct copy of the Initial Information Data Sheet and Utility Patent Application Transmittal filed along with the above-identified application on May 8, 2001.

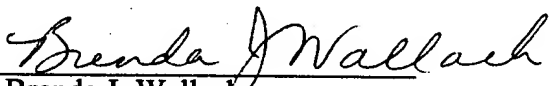
sd-99708

A copy of the marked-up Corrected Filing Receipt is also attached.

In the unlikely event that the transmittal letter is separated from this request and the Patent Office determine that a fee is required, application petitions for any required relief including extensions of time and authorizes the Assistant Commissioner to charge the cost of such petitions and/or other fees due in connection with the filing of this document to **Deposit Account No. 03-1952**, referencing Docket No. **300622001610**.

Dated: July 8, 2002

Respectfully submitted,

By: 
Brenda J. Wallach
Registration No. 45,193

Morrison & Foerster LLP
3811 Valley Centre Drive
Suite 500
San Diego, California 92130-2332
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JUL 18 2002



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO.	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/851,650	05/08/2001	1652	606	300622001610	7	39	5

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OCT 09 2001

MORRISON & FOERSTER
SAN DIEGO

CONFIRMATION NO. 4395

UPDATED FILING RECEIPT



OC000000006860284

Carolyn A. Favorito
Morrison & Foerster LLP
Suite 500
3811 Valley Centre Drive
San Diego, CA 92130-2332

Date Mailed: 10/05/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Philip J. Barr, Oakland, CA;
Daniel V. Santi, San Francisco, CA;
Gary W. Ashley, Alameda, CA;
Rainer Ziermann, San Mateo, CA;

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Domestic Priority data as claimed by applicant

THIS APPLICATION IS A DIV OF 09/422,073 10/21/1999 PAT 6,258,566
WHICH CLAIMS BENEFIT OF 60/033,193 12/18/1996

Foreign Applications

PCT/US97/23014 12/12/1997

WHICH IS A CON OF

08/489,332 12/11/1997

PAT 6,033,883

If Required, Foreign Filing License Granted 06/20/2001

Projected Publication Date: 01/17/2002

Non-Publication Request: No

Early Publication Request: No

** SMALL ENTITY **

Title

* No Docketing Required *
Reviewed by Docketing
Initials <u>AKL</u>

Preliminary Class

435

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Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

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No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).



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Bib Data Sheet

CONFIRMATION NO. 4395

SERIAL NUMBER 09/851,650	FILING DATE 05/08/2001 RULE	CLASS 435	GROUP ART UNIT 1652	ATTORNEY DOCKET NO. 300622001610
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APPLICANTS

Philip J. Barr, Oakland, CA;
Daniel V. Santi, San Francisco, CA;
Gary W. Ashley, Alameda, CA;
Rainer Ziermann, San Mateo, CA;

** CONTINUING DATA *****

THIS APPLICATION IS A DIV OF 09/422,073 10/21/1999 PAT 6,258,566
WHICH CLAIMS BENEFIT OF 60/033,193 12/18/1996
AND IS A CON OF 08/989,332 12/11/1997 PAT 6,033,883

** FOREIGN APPLICATIONS *****

PCT/US97/23014 12/12/1997

IF REQUIRED, FOREIGN FILING LICENSE GRANTED

** 06/20/2001

Foreign Priority claimed <input type="checkbox"/> yes <input type="checkbox"/> no	STATE OR COUNTRY CA	SHEETS DRAWING 7	TOTAL CLAIMS 39	INDEPENDENT CLAIMS 5
35 USC 119 (a-d) conditions met <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> Met after Allowance				
Verified and Acknowledged Examiner's Signature _____ Initials _____				

ADDRESS

25225

TITLE

Production of polyketides in bacteria and yeast

FILING FEE RECEIVED 606	FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT No. _____ for following:	<input type="checkbox"/> All Fees
		<input type="checkbox"/> 1.16 Fees (Filing)
		<input type="checkbox"/> 1.17 Fees (Processing Ext. of time)
		<input type="checkbox"/> 1.18 Fees (Issue)
		<input type="checkbox"/> Other _____
		<input type="checkbox"/> Credit

Initial Information Data Sheet

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COPY

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Postal or Zip Code:

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Citizenship Country:

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Fax:	(858) 720-5125
Electronic Mail:	CFavorito@mofo.com

Application Information

Title Line One:	PRODUCTION OF POLYKETIDES
Title Line Two:	IN BACTERIA AND YEAST
Total Drawing Sheets:	Seven
Formal Drawings?:	Yes
Application Type:	Divisional
Docket Number:	300622001610

Representative Information

Representative Customer Number:	25225
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Continuity Information

This application claims priority to:	
> Application One:	09/422,073
Filing Date:	21 October, 1999 (now allowed)

which claims priority to:	
>>Application Two:	08/989,332
Filing Date:	11 December, 1997 (now granted, Pat. No. 6,033,883)

and also claims priority to:	
>>>Application Three:	60/033,193
Filing Date:	18 December, 1996

and also claims priority to:	
>>>Application Four:	
Filing Date:	

Prior Foreign Applications

Foreign Application One:

Filing Date:

Country:

Priority Claimed:

PCT/US97/23014

12 December, 1997

PCT

Yes

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UTILITY
PATENT APPLICATION

TRANSMITTAL

COPY OF PATENT APPLICATION
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Only new nonprovisional applications under 37 CFR 1.53(b)(1)

Attorney Docket No.

300622001610

First Inventor

Phillip J. BARR; Daniel V. SANTI; Gary W. ASHLEY; Rainer
ZIERMANN

Title

PRODUCTION OF POLYKETIDES IN BACTERIA AND YEAST

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EL 719482578 US

DATE OF MAILING BY "EXPRESS MAIL"

Express Mail Label No.: EL 719482578 US

Date of Deposit: May 8, 2001

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Karen LePari

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g. PTO/SB/17)
(Submit an original, and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification (Total Pages)
(preferred arrangement set forth below)
- Descriptive title of the invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table, or a computer program listing appendix
- Background of the invention
- Brief Summary of the invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure
4. ☒ Drawing(s) (35 USC 113) (Total Sheets)
5. ☒ Oath or Declaration (Total Pages)
a. ☐ Newly executed (original or copy)
b. ☒ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 17 completed)
i. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)
6. ☒ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
a. ☐ Computer Readable Form (CRF)
b. Specification Sequence Listing on:
i. ☐ CD-ROM or CD-R (2 copies); or
ii. ☐ paper
c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement (where there is an assignee) ☐ Power of Attorney
11. ☐ English Translation document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other

18. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation☒ DIVISIONAL OF PRIOR APPLICATION No: 09/422,073 FILED OCTOBER 21, 1999

THIS APPLICATION ALSO CLAIMS PRIORITY TO 08/989,332 FILED 11 DECEMBER 1997; AND PROVISIONAL U.S. PATENT APPLICATION SERIAL NO. 60/033,193, FILED 18 DECEMBER 1996.

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. This incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label

25225

PATENT TRADEMARK OFFICE

(Insert Customer No. or Attach bar code label here)

or ☐ Correspondence address below

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Signature	[Signature]		Date	May 8, 2001	